

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

### Administration on Children, Youth and Families

[Program Announcement No. ACF-93588.951]

## DEPARTMENT OF EDUCATION

### Office of Elementary and Secondary Education

### Safe and Drug Free Schools Program; The Community Schools Youth Services and Supervision Grant Program, and The Family and Community Endeavor Schools Grant Program; Availability of Fiscal Year (FY) 1995 Funds and Request for Applications

**AGENCIES:** Administration for Children and Families (ACF), Department of Health and Human Services (HHS), and the Office of Elementary and Secondary Education (OESE), Department of Education (ED).

**ACTION:** Announcement of the availability of funds and request for applications under the Family and Community Endeavor School Grant Program.

**SUMMARY:** The Family and Youth Services Bureau (FYSB) of the Administration on Children, Youth and Families (ACYF) and the Safe and Drug Free Schools Program of the Office of Elementary and Secondary Education announce the availability of funds for competing discretionary grants under two programs established by the Family and Community Endeavor Schools Grant Program, Title III, Subtitle D of Pub. L. 103-322. The purpose of these programs is to prevent crime and violent behavior by providing academic, social and developmental services to children and youth during and after school hours, evenings, on weekends, and during holidays and the summer months.

This legislation mandates the implementation of two similar programs under Subtitle D: The Community Schools Youth Services and Supervision Grant Program (hereafter referred to as "Community Schools") and the Family and Community Endeavor Schools Grant Program (hereafter referred to as "FACES"). As the needs of children, youth and communities can best be served by integrating the two programs, the Departments of Health and Human Services and Education have jointly developed this grant announcement.

The two Departments intend to demonstrate that prevention strategies that bring together community-based organizations and schools in communities with high poverty rates, violent crime and significant juvenile delinquency have the greatest potential for preventing the involvement of children and youth in violent crime and other negative behaviors and for supporting their positive and healthy development.

Further, the Departments intend to demonstrate that, by concentrating the resources of schools and community-based organizations in well-defined rural, suburban and urban communities that face great social and economic problems, the positive effect of the programs for a core number of children, youth and families will be intensified. The HHS and ED also expect to collaborate with the National Institutes of Health to offer grantees the opportunity and the resources to participate in a rigorous assessment of the implementation and impact of a small number of projects.

This announcement describes the grant application requirements and processes for both programs and allows applicants to apply for either program separately or both programs jointly through submission of one application. This single application has been developed to further link the two programs, encourage local consortia to apply for both programs, and to help reduce the application burden.

**DATES:** The closing date for RECEIPT of applications under this announcement is May 5, 1995. Please note that this is a departure from the traditional approach of using postmarks instead of receipt date to determine eligibility of applications for review.

**ADDRESSES:** Application receipt: Department of Health and Human Services, ACF Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447. Attn: ACF-93588.951.

**FOR FURTHER INFORMATION ON THE COMMUNITY SCHOOLS PROGRAM CONTACT:** Department of Health and Human Services, AC/ACYF, Family and Youth Services Bureau, P.O. Box 1182, Washington, D.C. 20013. Telephone (202) 205-8076. Information is also available on the ACF Electronic Bulletin Board. To access, set modem to No Parity, 8 Data Bits, 1 Stop Bit and dial 1-800-627-8886. Under "Program Office Subsystems, Family and Youth Services Bureau," relevant files are found under COMMSCH.

**FOR FURTHER INFORMATION ON THE FACES PROGRAM CONTACT:** Department of

Education, OESE, Safe and Drug Free Schools Program, 600 Independence Avenue, SW., Washington, DC. 20202. Telephone (202) 260-3954.

**SUPPLEMENTARY INFORMATION:** This program announcement consists of six parts. Part I discusses the importance of addressing the developmental needs of children and youth, and provides background information on the legislative history and purposes of these programs. Part II describes the three programmatic priority areas for which applications are being solicited: The Community Schools Program; the FACES Program, and the Joint Community Schools/FACES Program. Part III describes the application evaluation criteria that will be used to review grant applications. Part IV describes the application process and how funding decisions will be made. Part V provides instructions for the development, assembly and submission of applications. Part VI provides information on the State Single Points of Contact, the Table of Community Schools Funding Allocations by State and all the necessary forms and instructions for applying for a grant under this announcement. *No additional materials are needed to submit an application.*

Applicants should note that grants to be awarded under this program announcement are subject to availability of funds.

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**Part I. General Information****A. Legislative Authority, Purposes and Goals, and Funding**

Congress enacted the Family and Community Endeavor Schools Grant Program as Subtitle D of Title III of the Violent Crime Control and Law Enforcement Act of 1994 (Public Law 103-322). This subtitle includes two programs: Community Schools, administered by the Department of Health and Human Services; and FACES, administered by the Department of Education. Congress intended that the legislation for these programs offer, through public-private partnerships between government and community-based organizations, an opportunity to empower distressed and disconnected communities to prevent crime and violent behavior by:

- Developing their resources and abilities in order to meet the needs of children,

- Forging innovative solutions to the challenges confronting the development of the children in such communities, and

- Creating environments where children grow up learning a healthy respect for themselves, for neighbors and for their communities.

The legislation mandates that public-private partnerships, including community-based organizations and schools, should provide a broad spectrum of supervised recreational, extracurricular, and academic programs. Recreational activities can include family-focused outings, a safe place to go, games, organized team or individual sports, supervised play and community service. Extracurricular and academic activities can include curriculum-based supervised educational activities, work force preparation, entrepreneurship experiences, cultural programs, health education, social activities, and tutorial and mentoring programs. The legislation also mandates that programs train teachers, administrators, social workers, guidance counselors, parents and school volunteers to provide concurrent social services for at-risk students.

Subtitle D of the Family and Community Endeavor Schools Grant Program is also designed to stimulate collaborative efforts that will assist urban, suburban and rural communities

and neighborhoods in identifying the specific needs of their children, youth and families, and in using their resources and abilities to develop and implement programs that build on community strengths, respond to identified needs and reduce crime and violence.

Under the Community Schools program, HHS will make grants to private, community-based, nonprofit organizations in communities with significant poverty and juvenile delinquency for the provision of after-school, evening, weekend, holiday, and summer education and recreation programs. The total authorization for HHS for FY 1995 is \$25.9 million. The amount of funds available to community-based organizations in each State is listed in the Table of Community Schools Funding Allocations by State (Part VI, Appendix B). In accordance with the Act, this distribution is based on the proportionate number of children in each State who live in families with incomes below the Federal poverty line. These funds do not, however, go to the States or pass through the States. Rather, funds will be awarded directly to successful community-based applicants in each State. Funds have also been set aside for grants to Federally recognized Indian tribes; for administrative purposes as allowed by the law; for training and technical assistance; and for evaluation.

Under the FACES program, ED will award grants to local educational agencies or community-based organizations to improve the overall academic and social development of at-risk students in public schools in communities with significant poverty, violent crime, and juvenile delinquency. The total authorization for FACES for FY 1995 is \$11.1 million.

**Note:** A Notice of Final Definition, Maximum Grant Award and Selection Criteria for the FY 1995 FACES Program is published by the Department of Education elsewhere in this issue of the **Federal Register**.

**B. Development of the Program Announcement**

In accordance with Congressional intent to develop programs that respond to the needs of individual children, youth and communities, HHS and ED have conducted 37 focus groups, involving more than 500 participants in Washington, DC, and each of the 10 Federal regions. A day for public comment was also held in Washington, DC.

Focus group participants have included more than 100 youth; parents

and other residents of communities with significant juvenile delinquency and high rates of poverty; academicians and researchers; service providers, including representatives from youth serving organizations; local and State officials; and foundation representatives. Focus groups were used to (1) provide information on the Community Schools and FACES programs and on the Federal youth development agenda; and (2) obtain information on important principles related to serving children and youth; on designing and implementing youth programs and making collaborations work; on the training and technical assistance needs of youth programs; and program evaluation.

Letters, papers and program descriptions were also solicited from a variety of sources across the country. Additionally, an Interdepartmental Work Group on Violence was convened in 1994 to obtain information about the best ways to serve youth, prevent violence and coordinate responses across Departments. These sessions and materials have led to the development of principles which guide this program announcement. The principles are explained below.

**C. Development of Children and Youth Within the Context of Their Social Environment**

Children and youth pass through a series of developmental phases which advance them from total dependence upon their parents and families to competent and independent adulthood. They struggle with adults for independence, affiliate with peers, take risks, and seek their place within the world. They need the help and support of family and community while they make the transition from adolescence to adulthood.

Most children in the United States are successful at making the transition from childhood to adolescence to adulthood. But for many, the crime and violence of their environment can effectively rob them of their childhood and deprive them of opportunities to carry out the developmental tasks associated with childhood and adolescence. With few outlets for recreational and creative activities and few positive role models, children and youth in many poor communities become involved in the violent activities of gangs, drugs and alcohol. The involvement of children at increasingly younger ages in these dangerous activities and the overall increase in youth violence is alarming:

Between 1988 and 1992, arrests of juveniles increased by 47 percent, more than twice the increase for adults.

Juvenile arrests for murder increased by 51 percent, compared with a nine percent increase for adults.

Between 1990 and 1992, the number of juveniles under age 15 arrested for violent crimes increased 33 percent.

Between 1988 and 1992, the number of females under age 18 arrested for violent crimes increased by 63 percent.

Violence and crime also invade schools. Nationally, nearly 3 million thefts and incidents of violent crime occur on or near school grounds annually. Nearly one in five high school students have reported carrying a weapon at least once in a 30 day period, and nearly 8 percent of 9–12 year olds have reported being involved in a fight requiring treatment by a doctor or nurse. Schools in many poor communities find it increasingly difficult to educate children and youth because of the problems that many bring to school.

The Department of Education has found that, despite the increasing violence among children and youth, there are safe schools even in communities where the worst crime and drug problems exist. An element common to many safe schools is the adoption of comprehensive strategies for schools and communities aimed at the prevention of crime and violence through a wide array of educational and professional activities and early intervention services. Comprehensive strategies include the development of education and training programs for students, staff, and community members; conflict resolution; peer meditation; the teaching of law and legal concepts; a school ethic that sets high standards for students and values their contribution; efforts to involve families in the community in developing programs; and implementation of innovative activities such as community service projects designed to rebuild safe and healthy neighborhoods and increase students' sense of individual responsibility.

#### *D. Lessons From Consultation*

Service providers and other experts have identified a number of shortcomings in past approaches to the funding of services to children and youth:

1. Public and private community-based service systems are increasingly unable to compensate as families become more isolated from traditional sources of support. Many parents are stressed and squeezed for time, whether because both parents are working, a single parent is struggling to combine work and parenting, or simply because they lack traditional neighborhood and extended family support. As a result,

parents are turning to under-funded and over-burdened community agencies, including schools, day care centers, youth serving organizations and recreation centers to fulfill their children's social and developmental needs and to provide the requisite supervision needed to ensure their safety.

2. Many publicly funded programs have not engaged a broad range of community services nor responded to the reality of youth's experiences, goals, strengths and needs.

3. Historically, youth programs have focused on intervening once youth have participated in delinquent or negative behaviors, rather than on preventing these behaviors and supporting youth during the critical transition from childhood through adolescence.

To address these shortcomings, youth, practitioners and other experts identified the following principles as characteristic of effective programs. Applicants are strongly encouraged to draw on these principles in designing their application:

1. Promote the positive development of children and youth. Program strategies and activities must be grounded within a developmental framework, begin early in a child's life, be sustained over a long period of time, and be geared to children's individual needs.

2. Involve children and youth in positive peer group interactions and constructive, developmentally appropriate activities. Programs should ensure the availability of age appropriate, constructive activities that are safe, accessible, fun and culturally relevant. Involving children and youth in the design and implementation of the activities will ensure that they are interesting and well attended.

3. Promote learning and academic achievement. Education can promote responsible citizenship by supporting the development of, and adherence to, high standards for academic and social performance among children and youth. The involvement of parents and families in the educational attainment of their children can, through interaction, strengthen family and community bonds. In addition, programs can broaden and/or enhance the academic and social experiences of parents by providing adult basic education courses, parenting classes and positive parent-teacher interactions.

4. Foster sustained relationships between children, youth and caring adults. Children and youth need individualized attention and interaction with a caring and supportive adult over an extended period of time. These needs

are best met by parents, but volunteers, program staff, social workers and/or teachers can perform a valuable role by acting as mentors, role models and friends to children and youth.

5. Promote the long-term development of neighborhood and communities.

Strong communities yield positive development for children and youth. In developing programs, local communities should place priority on developing local leadership, on involving children, youth and their families as resources in the community building process, and on providing needed services to families as well as children and youth.

6. Emphasize flexibility and functional collaboration in program design. Residents and service providers within the community must be involved in the design and implementation of the program to ensure that it becomes an integral part of the community. Collaborations should be functional; letters of agreement are not enough. Each collaborating agency should be actively involved and should provide an essential component of service to the program.

#### **Part II. Priority Areas**

Part II contains three options. Eligible organizations can choose to apply for a Community Schools Youth Services and Supervision Grant Program (Priority Area A), for a Family and Community Endeavor Schools Grant Program (Priority Area B), *OR* for a Joint Community Schools/FACES Program (Priority Area C). Each priority area description includes information on eligible applicants, program purpose and general legislative requirements. Part II also includes information relevant to all priority areas on Program Evaluation; Duration of the Project; Federal Share of the Project; and Grantee Share of the Project.

##### *Priority Area A: Community Schools Program*

Eligible Applicants: Private, non-profit, locally initiated community-based organizations (CBOs) with a 501(c)(3) status that are operated by, or are members of, a consortium of service providers consisting of representatives from five or more of the following categories: (1) Residents in the community; (2) business and civic leaders actively involved in providing employment and business development opportunities in the community; (3) educators; (4) religious organizations, which shall not provide sectarian instruction or worship in connection with an activity funded under these grants; (5) law enforcement agencies; (6)

public housing agencies; (7) other public agencies; and (8) interested parties. It is also strongly recommended that youth and local youth-serving agencies be represented.

A single community-based organization or consortium must be the grantee and must assume responsibility for administrative and fiscal management and reporting. A community-based, private, non-profit organization that applies for funds, but is not a consortium, must involve other community organizations as equal partners in the development and implementation of the project. Consortium members are expected to make a significant contribution to the project.

Federally recognized Indian Tribes are also eligible for funding under this priority area.

**Program Purpose:** The Administration on Children, Youth and Families (ACYF) will award between 50 and 75 grants to community-based organizations for \$250,000 to \$500,000 per year for implementation of the Community Schools Program, although in some cases, applications for less than \$250,000 will be considered for funding. (See Part II, Section F.) Approximately three grants will be awarded to Federally-recognized Indian tribes.

Successful grantees will receive a grant to operate the program for five years, subject to the availability of funds, satisfactory progress, and determination that continued funding would be in the best interest of the government. The grantee's share of project costs (non-Federal share) is 25 percent of total project costs for FYs 1995 and 1996. For FY 1997 this share increases to 30 percent. For FY 1998 and beyond the non-Federal share of project costs is 40 percent.

The Community Schools legislation requires that communities organize into consortia. The consortia are responsible for community coordination and collaboration to enhance the ability of the community to meet the developmental needs of children and youth. Developmentally appropriate activities can take place after school, during the evenings, on weekends and holidays during the school year and as daily full- or part-day programs during the summer months.

Applications developed in response to this priority area should articulate a vision for children, youth and their families and include community-wide strategies and interventions designed to prevent crime, enhance academic achievement and change environmental factors, circumstances and attitudes

which put children and youth at risk of unhealthy and destructive behaviors.

**Eligible Community:** Applicants must show the existence of significant poverty, significant crime and juvenile delinquency in the community to be served. Applicants must also demonstrate that they are proposing to serve an identifiable community or neighborhood with boundaries that are generally recognized by the residents in the community and that is small enough to allow a concentration of resources and the potential for measurable effects.

Local public schools are established institutions in every community, and Congress has identified them as logical program sites. In some communities, however, public schools may not be the ideal site. The legislation, therefore, identifies colleges or universities, local or State parks or recreation centers, churches, or military bases as possible options, if they are easily accessible to children in the community and comply with all local ordinances. Other options include space in community-based organizations, including youth serving agencies.

**Population to be Served:** The Community Schools legislation identifies children and youth, ages 5 through 18 who reside in the community, as eligible for participation in the program. While applicants may elect to serve children and youth in the entire 5 through 18 age range, they are encouraged to identify a particular developmentally-defined age group within that range to receive services to maximize the impact of the program.

**Other Requirements:** Based on past demonstration efforts, ACYF has learned that short-term interventions do not result in significant effects on children and youth. Therefore, programs should be designed so that children and youth who are initially chosen to participate can continue to participate for a sustained period of time as they grow older and as the program develops over the five year period. Attention must be given to maintaining the active participation of children and youth if they are to receive long-term benefits. The applicant must assure, as required by the legislation, that the program will maintain an average attendance rate of enrolled participants of not less than 75 percent. The program should identify a system for encouraging and maintaining participant attendance and a policy for the recruitment of new children and youth as needed.

**Fiscal Control and Requirements:** No more than five percent of Federal funds may be used to pay for the administrative cost of the program. This maximum may not be exceeded even if

an agency's negotiated indirect cost rate is greater than five percent. Indirect costs above the allowable five percent may be used as part of an applicant's non-Federal share contribution.

No Federal funds may be used to provide sectarian worship or sectarian instruction.

Applicants must address all of the Application Evaluation Criteria found in Part III below.

#### *Priority Area B: FACES Program*

**Eligible Applicants:** Local educational agencies (LEAs) and community-based organizations are eligible to receive grants under this program. A community-based organization means a private, non-profit organization which is representative of a community, or significant segments of a community, and which provides educational or related services to individuals in the community.

**Program Purpose:** The Department of Education will award approximately 30 grants to local educational agencies or community-based organizations to improve the overall academic and social development of at-risk students. The minimum grant award is \$250,000 and the maximum is \$500,000 for each 12-month period.

Successful grantees will receive a grant to operate the program for five years, subject to the availability of funds, satisfactory progress, and determination that continued funding would be in the best interest of the government. The applicant's share of project costs (non-Federal share) is 30 percent of total project cost.

In order to receive an award, eligible applicants must:

(1) Identify an eligible community to be assisted.

(2) Develop a community planning process that includes parents and family members, local school officials, teachers employed at schools within the eligible community, public housing resident organization members, when applicable, and public and private non-profit organizations that provide education, child protective services, or other human services to low-income, at-risk children and their families.

(3) Develop a concentrated strategy for implementation of a community planning process that targets clusters of at-risk children and youth in the eligible community.

It is strongly recommended that youth and local youth-serving agencies be included in the planning process.

**Note:** A Notice of Final Definition, Maximum Grant Award and Selection Criteria for the FY 1995 FACES Program is

published in the ED section of this issue of the **Federal Register**.

**Program Requirements:** Applicants must propose to develop or expand programs designed to improve the academic and social development of at-risk students at selected public schools in eligible communities. To accomplish this goal, each grantee must institute a collaborative structure that trains and coordinates the efforts of teachers, administrators, social workers, guidance counselors, parents and school volunteers to provide concurrent social services.

Applicants may also propose a variety of optional activities to serve the comprehensive needs of at-risk students in the community. These activities may include, but are not limited to, homework assistance and after-school programs, including educational, social, and athletic activities; nutrition services; mentoring programs; family counseling; and parent training programs.

**Eligible Community:** Applicants must demonstrate that they are proposing to serve an identifiable community or neighborhood with boundaries that are generally recognized by the residents in the community and that is small enough to allow a concentration of resources and the potential for a measurable impact. The community must have a significant level of poverty, violent crime and juvenile delinquency.

Services for at-risk students must be offered at selected public schools in the eligible community.

**Other Requirements:** Applications developed in response to this priority area must contain a comprehensive plan describing the program that is designed to improve the academic and social development of at-risk children in schools in the community. The plan should articulate a vision for children, youth and their families and include community-wide strategies and interventions designed to prevent crime and change the environmental factors, circumstances and attitudes which put children and youth at risk of unhealthy and destructive behaviors.

Applicants must provide evidence of support for accomplishing the objectives of the comprehensive plan from community leaders; a school district; local officials; and other organizations that the applicant determines to be appropriate.

Applicants must also provide an estimate of the number of children in the eligible community expected to be served under the program.

**Assurances:** Applicants must provide the following program specific

assurances: (1) That the applicant will use grant funds to implement the program requirements; (2) that the applicant will comply with any evaluation requested as part of the FACES program, any research effort authorized under Federal law, and any investigation by the Secretary; (3) that the applicant shall prepare and submit to the Secretary an annual report regarding any program conducted with these funds; (4) that funds made available under the FACES program shall be used to supplement, not supplant other federal funds that would otherwise be available for activities funded under this program; and (5) that the applicant will maintain separate accounting records for the program.

In addition, the standard assurances described in Part V, Section A-4 must be included. Forms for these assurances are included in this application package.

Applicants must address all of the relevant Application Evaluation Criteria found in Part III, below.

#### *Priority Area C: Joint Community Schools/FACES Program*

In order to receive an award under this priority, applicants must meet all requirements of both the FACES and the Community Schools Programs (Priorities A and B).

**Eligible Applicants:** Private, non-profit, locally initiated community-based organizations (CBOs) with a 501(c)(3) status that are operated by, or are members of, a consortium of service providers consisting of representatives from five or more of the following categories: (1) Residents in the community; (2) business and civic leaders actively involved in providing employment and business development opportunities in the community; (3) educators; (4) religious organizations, which shall not provide sectarian instruction or worship in connection with an activity funded under these grants; (5) law enforcement agencies; (6) public housing agencies; (7) other public agencies; and (8) interested parties. It is also strongly recommended that youth and local youth serving agencies be represented.

Applicants requesting funding under this priority area must work in partnership with a local educational agency and must develop an in-school component as part of the proposed program.

A single community-based organization or consortium must be the grantee and must assume responsibility for administrative and fiscal management and reporting. A community-based, private, non-profit

organization that applies for funds, but is not a consortium, must involve other community organizations as equal partners in the development and implementation of the project.

Federally-recognized Indian Tribes are also eligible for funding under this priority area.

**Program purpose:** The ACYF and the OESE will award approximately 20 grants to community-based organizations for \$500,000 to \$1,000,000 per year for implementation of Joint Community Schools/FACES Programs. Because of limited dollars, most programs will be funded at the lower end of this range. Successful grantees will receive funding to operate the program for five years, subject to the availability of funds, satisfactory progress, and determination that continued funding would be in the best interest of the government.

The intent to fund a significant number of joint projects reflects the Departments' commitment to collaboration. It is intended to provide greater flexibility and facilitate comprehensive community-wide interventions that will meet the developmental needs of children and youth in a holistic manner and prevent crime and violence. All stakeholders, including teachers, parents, social service providers, private sector and community leaders should be involved in the project as equal partners, which should result in community ownership of the program. The consolidation and joint operation of the program should result in a comprehensive and coherent continuum of care for children and youth on a daily and long-term basis, including academic, social and recreational services throughout the entire school day, into the evening hours, on weekends and holidays and during the summer months.

Projects funded under the Joint Community Schools/FACES program should provide a continuum of care that will significantly increase opportunities for children and youth to develop into physically and emotionally healthy, contributing members of society. In taking a developmental approach, these joint programs are expected to include plans to identify and meet the social and academic needs of children and youth that will be served jointly by the community and the school in a safe and violence-free environment.

**Eligible Community:** Applicants must demonstrate that they are proposing to serve an identifiable community or neighborhood with boundaries that are generally recognized by the residents in the community and that is small enough to allow a concentration of resources

and the potential for a measurable impact. The community must have a significant level of poverty, violent crime and juvenile delinquency.

**Population to be Served:** Children and youth, ages 5 through 18 who reside in the community, are eligible for participation in the program. While applicants may serve children and youth in the entire 5 through 18 age range, they are encouraged to identify a particular developmentally-defined age group to receive services to maximize the impact of the program.

**Budget and Reporting:** A single budget may be submitted, however, the budget must separate projected costs and non-Federal share for Community Schools and FACES programs as the required non-Federal share varies based on the funding source. Instructions in Part V below describe how this should be done. Applicants willing to comply with the highest non-Federal share requirements for a given year for both programs do not have to separate out Community Schools and FACES budgets.

The two Departments are currently developing financial and programmatic reporting requirements that will eliminate duplication and ease the reporting burden. Successful grantees will receive instructions on these requirements.

Applicants must address all of the Application Evaluation Criteria found in Part III, below.

#### *Priority Area D: Program Evaluation*

The following section describes the evaluation requirements that should be addressed by applicants, and the opportunities that may be available for organizations that successfully compete for grants under this program announcement. Applicants should also note that a national evaluation involving a sample of projects and cross-site data collection and analysis may be conducted by the Federal government.

#### *All Applicants*

- All applicants must agree to cooperate with any national data collection, research and evaluation activities that are funded and/or coordinated by the Administration for Children and Families or the Office of Elementary and Secondary Education. In addition, all applicants must demonstrate that key staff have the knowledge and experience needed to participate in these efforts.

- All applicants are required to submit a specific plan for the evaluation of their individual projects. The plan should provide for the collection and documentation of baseline, progress and

outcome data on all phases of their projects, including planning and implementation; collaboration and coordination; on program participants, their family and neighborhood environments; on the nature, availability and access to services and resources; intensity and duration of services to be provided and on the possible effects of the programs on children, youth and community.

Grantees are required to periodically collect and maintain data that can be used to report annually to Congress on the number of children participating in the program; the academic achievement of such children; the school attendance and graduation rates of such children; and the number of such children being processed by the juvenile justice system. Technical assistance regarding the implementation of these evaluation activities will be provided to programs that receive grants under this program announcement.

#### *Applicants for Joint Community Schools/FACES Programs*

- Applicants for the Joint Community Schools/FACES Program are required to submit detailed plans for independent, third-party evaluations. The plans should include both implementation and impact components and use scientifically valid and rigorous evaluation designs. Applicants for the joint program must set aside a portion of their proposed budgets, but no more than 15% of the total budget, to carry out the evaluation plan.

Additional funding for such an evaluation may be available from private foundations and/or the Federal government. This possibility of receiving these additional funds will be explored with successful applicants.

- Applicants for the Joint Community Schools/FACES Program may be eligible to apply to the National Institutes of Health (NIH) for a Research Demonstration Grant to Enhance Services and Assessment. These grants would support program development and assessment. NIH has an interest in intervention research aimed at the prevention of aggressive behavior and violence and has set aside \$1.8 million in FY 1995 for grants in this area. The funds will be awarded to researchers who establish partnerships with prospective applicants to the Joint Community Schools/FACES Program to enhance local interventions for at-risk youth and conduct a rigorous study of the implementation and impact of the interventions. This partnership would allow successful grantees to use all funds awarded under this announcement for program purposes

and use the NIH funds for the evaluation. It is expected that fewer than five (5) of these research demonstration grants will be funded.

Major criteria for the award of the NIH funds will be research, training and achievements of the Principal Investigator and other research staff; demonstration of a collaborative relationship between the research organization and the Joint Community Schools/FACES Program applicant(s); and the extent to which representatives from the community are involved in all phases of the research from design through analysis and reporting. Technical assistance is available from NIH to Joint Community Schools/FACES Program applicants in forming these partnerships with interested and qualified researchers as well as in developing their project concept, plans and research methodology.

Since research plans must be integrated into the program initiative from the outset, it is important that interested applicants immediately contact James Breiling, Ph.D., Violence and Traumatic Stress Research Branch, National Institute of Mental Health, 5600 Fishers Lane, Parklawn Building 10c-24, Rockville, MD 20857. Dr. Breiling can be reached by telephone at (301) 443-3728 or by FAX at (301) 443-4045.

#### *Priority Area E: Duration of the Project*

This announcement solicits applications for five-year projects (60 months). Initial grant awards, made on a competitive basis, will be for one-year (12-month) budget periods. Applications for continuation grants beyond the one-year budget periods, but within the 60-month project periods, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantees, and determination that continued funding would be in the best interest of the government.

#### *Priority Area F: Federal Share of the Project*

The range of the Federal share of project costs is as follows:

**Priority Area A, the Community Schools Program:** The preferred range of Federal share for projects is between \$250,000 and \$500,000 for each 12-month period, but smaller grants will be entertained on an exception basis. All applications will be reviewed under the criteria found in Part III below and must show collaboration with and linkages to other community organizations. Applicants should refer to Part VI, Appendix B: Table of Community

Schools Funding Allocations by State, to identify the amount of funds available for community-based organizations in their State.

Priority Area B, FACES Program: The range of Federal Share for projects is between \$250,000 and \$500,000 for each 12-month period.

Priority Area C, Joint Community Schools/FACES Program: The range of Federal Share for projects is between \$500,000 and \$1,000,000 for each 12-month period. Most of the grants will be funded at the lower end of the range.

*Priority Area G. Grantee Share of the Project*

The applicant share of project is as follows:

Priority Area A, the Community Schools Program: The required non-Federal share is 25 percent of total project costs (i.e., Federal and non-Federal) for FYs 1995 and 1996, 30 percent for FY 1997, and 40 percent for FYs 1998 and 1999. For example, a project requesting \$250,000 in Federal funds must include a match of at least \$83,333 (25 percent of a total project cost of \$333,333) for FYs 1995 and 1996. For FY 1997, the non-Federal match would be at least \$107,142 for a total budget of \$357,142. For FYs 1998 and 1999, the match is \$166,666 per year for a total budget of \$416,666 per year.

Priority Area B, The FACES Program: The applicant share of project costs for the FACES Program is 30 percent of total project costs.

Priority Area C, Joint Community Schools/FACES Program: Applicants must fulfill the non-Federal requirements for each individual program. See instructions in Part V, Section A.2. regarding construction of the budget.

For all applications submitted under this program announcement, at least 15 percent of the non-Federal match must be provided from private or nonprofit sources. The non-Federal share may be met by cash or in-kind contributions, fairly evaluated, including personnel, plant, equipment, and services. Federal funds provided to States and services or other resources purchased with Federal funds may not be used to match project grants. For the Community Schools Programs, however, funds appropriated by Congress for the activity of any agency of an Indian Tribal government or the Bureau of Indian Affairs of any Indian lands may be used to provide the non-Federal share for the cost of these programs.

Any applicant that does not provide the required percentage of non-Federal share will not be funded.

**Part III. Application Evaluation Criteria**

Applications submitted in response to this program announcement will be read and evaluated based on the application evaluation criteria. The point values following each criterion indicate the numerical weight each will be accorded in the evaluation. The information that follows each criterion includes those areas that applicants must address in their proposals.

Applicants should organize and present the Program Narrative section of the application in the order of the five Application Evaluation Criteria. It has been our experience that applications that are not organized according to the criteria and do not address all the criteria generally rate very poorly.

*Criterion 1: Objectives and Need for Assistance (15 Points)*

- Demonstrate the need for the assistance and identify existing gaps in services, infrastructure and opportunities that, if filled, will support the academic and social development of children and youth in the community and reduce crime and violence.

- Clearly state the measurable goals and objectives of the proposed project.
- Identify the geographic area to be served. Describe what makes the area an identifiable community or neighborhood and demonstrate that the community is small enough to allow a concentration of resources that will result in an appreciable difference for children, youth and the community itself.

- Provide data on the number, gender and ethnic/cultural background of the children and youth in the area. (This applies only to the use of funds for Community Schools and Joint Community Schools/FACES Programs.)

*Criterion 2: Approach (30 Points)*

- Describe the underlying child and youth development principles that will be employed as a framework for the program and discuss why this framework was chosen and how it will lead to the reduction of crime and violence. Identify the age group(s) of the children and youth to be served and explain the reasons for that choice. Indicate the period of time over which children and youth will receive services.

- Describe in detail how the applicant will achieve each of the goals and objectives listed above in Objectives and Need for Assistance and identify any unusual features of the program.

- Describe the continuum of services and activities that will be provided and

indicate how those services will meet the academic, social and developmental needs of the participants and reduce crime and violence.

- Indicate how services and activities will take into account and be sensitive to cultural differences of children and youth being served, including racial and ethnic background, gender, religious beliefs, physical capacity and sexual orientation. Assure that funds will be used to provide academic programs, supervised sports programs and extra-curricula activities. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Describe if and how applicant will arrange for the provision of needed preventive health services and treatment, including initial physical examinations, first aid training, nutritional guidance, and substance abuse treatment where appropriate. Indicate how applicant will identify other funding sources for these services, using funds under this grant program for these purposes only as the dollar of last resort. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Identify the physical location(s) of the program and assure that public schools or other local facilities will be used. FACES applicants must propose to use public school facilities. Demonstrate that the location and the services are safe and secure and accessible to children, youth and families, in terms of days and hours of operation and sensitivity to the population served.

- Describe the consortium. Provide an agreement signed by each consortium member that identifies the organizational structure of the consortium including the overall leadership, membership requirements and responsibilities, decision-making procedures and fiscal and programmatic commitments, including generation of local support and contributions to non-Federal share. Identify a strategy to coordinate and deliver services between schools and community-based organizations, including youth-serving organizations; address fiscal, programmatic and other barriers to coordination; and indicate how these barriers will be addressed. Provide assurance that community leaders, businesses, local education agencies, local officials, State officials, Indian Tribal government offices and other appropriate organizations support the consortium. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)



- Provide information that demonstrates the effort to generate local support for the program from community leaders, a school district, local officials and other organizations that the applicant determines to be appropriate.

- List State, Federal and foundation programs with which the applicant has coordinated, including Family Preservation and Family Support State planning efforts, Corporation for National and Community Service Projects, formally designated Empowerment Zones and Enterprise Communities, and/or the Pulling America's Communities Together (PACT) planning process. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Indicate to what extent a community planning process has occurred and the extent of the planning effort that still remains to be accomplished. Include information on the process and timing for the phase-in of services and other program components. Provide information on the manner in which any of the following groups have been or will be included in the planning and implementation of this effort: children, youth and family members; local school officials and teachers; business and civic leaders; religious organizations; museums, cultural and arts organizations; parks and recreation organizations; juvenile justice, law enforcement and community policing representatives; community residents, neighborhood associations and public housing groups; public and private non-profit organizations that provide education, child protective services, or other human services; and other appropriate entities such as social service, health and mental health agencies. Identify barriers to participation and indicate how those barriers will be overcome.

- Describe the strategy for recruiting children and youth into the program, including a strategy for recruiting those children and youth not connected to the school system. If appropriate, indicate how applicant will deliver services to the youth and/or family through outreach activities and home visits. Describe the terms and conditions for participation of children and youth, including mechanisms for obtaining written permission from parents or guardians and securing an application for participation. Describe the mechanism for assuring that an average attendance rate of not less than 75 percent is maintained for enrolled participants. In addition, describe the policy for identifying children or youth

who are deemed a danger to themselves or others and for referring them to other more appropriate services. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Identify a collaborative structure that trains and coordinates efforts of administrators, social workers, guidance counselors, parents, teachers and school volunteers.

- Identify how youth, community volunteers and staff of community-based organizations will be trained. Provide assurance that applicant will cooperate and participate in training and technical assistance activities provided or sponsored by HHS. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Describe procedures for maintaining confidentiality of records on individual children, youth and families served. Identify how pertinent information about individuals can be appropriately shared with service providers and describe how data collection on program participation and will be conducted in a manner consistent with Federal regulations governing pupil privacy. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

#### *Criterion 3: Results or Benefits Expected (15 Points)*

- Describe the long and short term outcomes of the program. Indicate, in measurable terms, appropriate indicators for assessment of program implementation and impact.

- Estimate the number and characteristics (gender, ethnicity and/or racial group, ages, academic standing, etc.) of the children and youth that will benefit from this project. (FACES applicants need only supply the number of children and youth to be served.)

#### *Criterion 4: Program Evaluation (15 Points)*

- Provide assurance that the applicant will cooperate with any data collection, research or evaluation efforts independently funded or sponsored by HHS and/or ED.

- Provide an evaluation plan for the proposed project that is thorough, feasible and appropriate. This evaluation must include collection of baseline data and identification and tracking of indicators that will show progress in program implementation and attainment of outcomes. These data should be collected in the areas of program planning; collaboration and coordination; and program

implementation, including intensity, duration and location of services provided. Applicants for the Community Schools and Joint Community Schools/FACES programs should also collect baseline data on individual children and youth, their families and neighborhood environments. Applicants for FACES programs must include a plan for the assessment of social and academic achievement of children and youth served.

- Provide information on how the program will periodically collect and maintain data that can be used to report annually to Congress on the number of children participating in the program; the academic and social achievement of such children; the school attendance and graduation rates of such children; and the number of such children being processed by the juvenile justice system.

- Applicants applying for a Joint Community Schools/FACES Program must provide a plan for a third-party evaluation that is comprehensive; includes a rigorous scientifically valid evaluation design; and is capable of contributing to the state of knowledge in this field. Provide information on experience of the third-party evaluator.

#### *Criterion 5: Staff Background and Organizational Experience (20 Points)*

- Identify the skills, experience and educational requirements of key staff and indicate how they are relevant to the objectives of the project. Include résumés of individuals already chosen for positions. Identify recruitment strategies that will be used to identify potential staff and volunteers, especially those that will be used to hire staff that reflect or come from the community.

- Demonstrate the ability to effectively manage the project including the ability to lead community prevention efforts, coordinate activities with schools and other agencies and participate in or develop evaluation activities.

- Provide assurances that staff-to-participant ratio (including volunteers) is appropriate to the activities and service provided. Demonstrate that this ratio reflects the opportunity for children and youth to develop positive, consistent and nurturing relationships with adults. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

#### *Criterion 6: Budget Appropriateness (10 Points)*

- Discuss the costs of the proposed project in terms of children, youth and neighborhoods served. Include funds in the budget, as appropriate, for training



and technical assistance, evaluation and the cost of up to 3 annual trips to Washington, D.C. for two people to participate in meetings and conferences.

- Explain and justify, in terms of amount and benefits to be derived, any use of Federal funds for minor renovation of existing facilities or for health or substance abuse treatment. Demonstrate that no more than five percent of Federal funds will be used to pay for the administrative costs of the program, especially if the applicant's approved indirect cost rate is higher than five percent. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Describe the fiscal control and accounting procedures that will ensure prudent use, proper and timely disbursement and accurate accounting of funds received under this program announcement. Assure that competitive procedures will be used when purchasing contracting or otherwise providing goods, activities and services.

- Provide assurances that no funds from this project will be used to provide sectarian worship or sectarian instruction. (This applies only to use of funds for Community Schools and Joint Community Schools/FACES Programs.)

- Provide evidence that the applicant can and intends to generate the local financial and in-kind support, service and commitments that will be required for non-Federal match over the life of the project. Provide a description of charitable, private and non-profit resources that will be obtained to support the program.

#### **Part IV. Application Process**

##### **A. Application Requirements**

To be considered for a grant under this program announcement, applications must be submitted on forms found in Part VI, Appendix C, and in accordance with guidance provided below. The application must be signed by an individual authorized to act for the applicant agency and assume responsibility for obligations imposed by the terms and conditions of grant award.

If more than one agency is involved in submitting a single application, one entity must be identified as the applicant organization with legal responsibility for the grant.

Any non-profit organization submitting an application must submit proof of its non-profit status with its application. Proof can include a copy of the applicant's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in

Section 501(c)(3) of the IRS code, or a copy of the currently valid IRS tax-exemption certificate, or a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

##### **B. Paperwork Reduction Act of 1980**

Under the Paperwork Reduction Act of 1980, Pub. L. 96-511, the Department is required to submit to the Office of Management and Budget (OMB) for review and approval any reporting and record-keeping requirements in regulations, including program announcements. This program announcement does not contain information collection requirements beyond those approved for grant applications under OMB Control Number 0348-0043.

##### **C. Notification Under Executive Order 12372**

This program is covered under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs," and 45 CFR Part 100, "Intergovernmental Review of Department of Health and Human Services Programs and Activities." Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

All States and Territories except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, Washington, American Samoa and Palau have elected to participate in the Executive Order process and have established Single Points of Contact (SPOCs). Applicants from these 19 jurisdictions need take no action regarding E.O. 12372. Applications for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants must contact their SPOCs as soon as possible to alert them to the prospective application and receive any necessary instructions. Applicants must submit any required material to the SPOCs as early as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials, if any, to the SPOC and indicate the date of this submittal (or date of contact if no submittal is required) on the Standard Form 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application deadline

date to comment on proposed new or competing continuation awards.

SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations. Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which they intend to trigger the "accommodate or explain" rule.

When comments are submitted directly to ACF, they must be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, S.W., Washington, D.C. 20447.

A list of the Single Points of Contact for each State and Territory is included as Part VI, Appendix A below.

##### **D. Availability of Forms and Other Materials**

To be considered, each application must be submitted on the forms provided in Part VI, Appendix C. The forms may be reproduced, as needed.

##### **E. Application Consideration**

All applications will be screened to determine eligibility of the applicant. Applications submitted by ineligible applicants will not be reviewed or considered for funding. Applications which are complete and conform to the requirements of this program announcement will be subject to a competitive review against the specific Application Evaluation Criteria contained in Part III of this announcement. This review will be conducted in Washington, D.C. by teams of experts knowledgeable in the areas of child and youth development, education, drug and violence prevention, juvenile justice, social services, community development and related areas. The results of the competitive review will be analyzed by Federal staff who will recommend applications for funding as either joint or single program grants to the Assistant Secretary for Elementary and Secondary Education and/or the Commissioner for the Administration on Children, Youth and Families.

The Assistant Secretary and/or Commissioner will make the final selection of the applicants to be funded. Priority for funding will be given to applicants who propose to carry out projects and activities in communities that have significant poverty, juvenile delinquency and violent crime and who can demonstrate the greatest effort in generating local support for the program. In addition, the Assistant Secretary and/or Commissioner may

show preference for applications proposing projects in diverse geographic areas that would not otherwise be served. Special consideration will be given to qualified applicants that meet the primary grant requirements and serve areas that are preparing or implementing comprehensive community-based strategic plans for achieving both human and economic development in an integrated manner, especially those applicants that operate within formally designated Empowerment Zones or Enterprise Communities or that have participated in the Pulling America's Communities Together (PACT) planning process.

In awarding Community Schools Program grants, the Commissioner may elect to consider an applicant's past performance in providing services to children and youth and may elect not to fund any applicant having known management, fiscal or other problems which make it unlikely that they would be able to perform effectively. Regional Offices will be consulted regarding these applications.

Grant awards of FY 1995 funds will be made by September 30, 1995. Subject to the availability of resources in FY 1996 and the number of acceptable applications received as a result of this program announcement, the Federal government may elect to select recipients for FY 1996 new grant awards out of the pool of applications submitted under this program announcement.

Successful grantees will be notified through the issuance of a Financial Assistance Award which will set forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which support will be given, the non-Federal share to be provided, and the total project period for which support is contemplated.

Organizations whose applications will not be funded will be notified of that decision in writing as soon as possible after final funding decisions are made.

## **Part V: Application Content, Instructions, Assembly and Submission**

### **A. Content, Instructions and Assembly of Application.**

Each application must contain the following items in the order listed. Applicants should number all pages to make review and evaluation easier.

1. *Application for Federal Assistance.* (Standard Form 424, REV 4-88). To fill out this Form, follow the instructions in Part VI, Appendix C. In Item 8 of Form 424, check "New." In Item 10 of the 424, clearly identify the Catalog of

Federal Domestic Assistance Program Number and Title of the program for which funds are being requested (Priority Area A: Community Schools Program (93.588); Priority Area B: FACES Program (84.285A); or Priority Area C: Joint Community Schools/FACES Program (93.588 and 84.285A)).

2. *Budget Information.* (Standard Form 424A, REV 4-88). Provide amounts for major budget categories.

For a budget submitted in response to Priority Area C: Joint Community Schools/FACES Program, Columns 1-4 of Section B of the Standard Form 424 should include the following information: Column 1: FACES Federal Costs; Column 2: FACES Non-Federal Share; Column 3: Community Schools Federal Costs; and Column 4: Community Schools Non-Federal Share.

3. *Budget Justification.* List on standard size plain white paper the amounts and sources of all funds, both Federal and non-Federal, that will be used for this project. Explain how these funds will be used.

4. *Assurances.* (Standard Form 424B, Certification Regarding Drug-Free Workplace, Certification Regarding Debarment, Certification Regarding Lobbying and Certification Regarding Environmental Tobacco Smoke). Of these forms, only the Standard Form 424B and the Certification Regarding Lobbying need to be signed and returned with the application. Note: For FACES and Joint Community Schools/FACES Programs the Program Specific Assurances Form must also be signed and returned with the application. By signing the Standard Form 424, the applicant agrees to abide by requirements regarding drug-free workplace, debarment and environmental tobacco smoke.

5. *Project Summary Description.* Clearly mark this page with the applicant's name as shown in item 5 of the Standard Form 424 and the title of the project as shown in item 11 of the same Form. The summary, not to exceed one page, should accurately and concisely reflect the proposal and include a description of the objectives of the project, approaches to be used and outcomes expected.

6. *Program Narrative Statement.* Applicants should use the Evaluation Criteria in Part III as a way to organize the Program Narrative and should address all the specifics contained in the criteria. The pages of the narrative section must be numbered and are limited to 45 typed pages, double spaced, printed only on one side, with at least 1/2 inch margins. Applications which contain a Program Narrative Statement longer than 45 double-spaced

pages will not be reviewed or considered for funding. In addition, please note that previous attempts by applicants to exceed page limits or to circumvent space limitations by using small print have resulted in negative responses from reviewers because of the difficulty in reviewing the application. It is in the best interest of applicants to ensure that the narrative statement is easy to read, logically developed in accordance with evaluation criteria and adheres to page limitations.

7. *Organizational Capability Statement.* Applicants must provide information (no more than three pages, double-spaced) on the applicant agency's experience and ability to bring together a broad consortium of organizations; and on planning and management capabilities. Applicants should provide and explain an organizational chart and show the relationship of this project to the current organization.

Applicants must provide assurances that a separate accounting system will be established to manage funds awarded under this program and that competitive procedures will be used for all project-related contracts and purchases.

8. *Supporting Documentation.* These documents might include resumes, newspaper clippings, and evidence of efforts to coordinate services at the local level. The maximum for supporting documentation is 15 pages, exclusive of letters of agreement. Documentation over the 15 page limit will not be reviewed. The applicant may, however, include as many letters of agreement as are appropriate to support the commitment of consortium members.

### **B. Application Submission**

To be considered for a grant, each applicant must submit a signed original and two additional copies of the grant application, including all attachments, to the application receipt point specified below. The original copy of the application must have an original signature, signed in black ink. Each copy must be stapled (back and front) in the upper left corner. All copies of the application must be submitted in a single package.

Because each application will be duplicated by the government, do not use or include separate covers, binders, clips, tabs, plastic inserts, maps, brochures or other items that cannot be processed easily on a photocopy machine with an automatic feed.

Closing Date for the Receipt of Applications: The closing date for receipt of applications for the grant programs in this announcement is May 5, 1995.

Applications may be submitted to the following address: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade SW., Washington, DC 20447. Hand delivered applications will be accepted during normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday at the Administration for Children and Families, Division of Discretionary Grants, 6th floor, ACF Guard Station, 901 D Street, SW., Washington, DC 20447.

Envelopes containing applications must clearly indicate the Program Announcement Number ACF-93588.951 and the priority area that the application is addressing: Priority Area A: Community Schools Program; Priority Area B: FACES Program; or Priority Area C: Joint Community Schools/FACES Program.

**Deadline:** Applications will be considered as meeting the deadline if they are received on or before the receipt date at the above address. *Please note that this is a departure from the traditional approach of using post marks instead of receipt date to determine eligibility of application for review.*

**Late Applications:** Applications which do not meet the criteria stated above and are not received by the receipt date are considered late applications. These applications will not be reviewed or considered for funding.

**Extension of Deadline.** The granting agency may extend the deadline for all applicants because of acts of God such as earthquakes, floods or hurricanes, etc., or when there is a widespread disruption of the mails. However, if ACF does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicant.

(Catalog of Federal Domestic Assistance Number 84.285A for the FACES Program and Number 93.588 for the Community School Program.)

Dated: February 27, 1995.

**Thomas Payzant,**

*Assistant Secretary, Office of Elementary and Secondary Education.*

Dated February 27, 1995.

**Olivia A. Golden,**

*Commissioner, Administration on Children, Youth and Families.*

## Appendix A

*Executive Order 12372—State Single Points of Contact*

### Arizona

Mrs. Janice Dunn, Attn: Arizona State Clearinghouse, 3800 N. Central Avenue,

14th Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315

### Arkansas

Tracie L. Copeland, Manager, State Clearinghouse, Office of Intergovernmental Services, Department of Finance and Administration, PO Box 3278, Little Rock, Arkansas 72203, Telephone (501) 682-1074

### California

Glenn Stober, Grants Coordinator, Office of Planning and Research, 1400 Tenth Street, Sacramento, California 95814, Telephone (916) 323-7480

### Delaware

Ms. Francine Booth, State Single Point of Contact, Executive Department, Thomas Collins Building, Dover, Delaware 19903, Telephone (302) 736-3326

### District of Columbia

Rodney T. Hallman, State Single Point of Contact, Office of Grants Management and Development, 717 14th Street, NW, Suite 500, Washington, DC 20005, Telephone (202) 727-6551

### Florida

Florida State Clearinghouse, Intergovernmental Affairs Policy Unit, Executive Office of the Governor, Office of Planning and Budgeting, The Capitol, Tallahassee, Florida 32399-0001, Telephone (904) 488-8441

### Georgia

Mr. Charles H. Badger, Administrator, Georgia State Clearinghouse, 254 Washington Street, SW, Atlanta, Georgia 30334, Telephone (404) 656-3855

### Illinois

Steve Klockenga, State Single Point of Contact, Office of the Governor, 107 Stratton Building, Springfield, Illinois 62706, Telephone (217) 782-1671

### Indiana

Jean S. Blackwell, Budget Director, State Budget Agency, 212 State House, Indianapolis, Indiana 46204, Telephone (317) 232-5610

### Iowa

Mr. Steven R. McCann, Division of Community Progress, Iowa Department of Economic Development, 200 East Grand Avenue, Des Moines, Iowa 50309, Telephone (515) 281-3725

### Kentucky

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601, Telephone (502) 564-2382

### Maine

Ms. Joyce Benson, State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone (207) 289-3261

### Maryland

Ms. Mary Abrams, Chief, Maryland State Clearinghouse, Department of State Planning, 301 West Preston Street, Baltimore, Maryland 21201-2365, Telephone (301) 225-4490

### Massachusetts

Karen Arone, State Clearinghouse, Executive Office of Communities and Development, 100 Cambridge Street, Room 1803, Boston, Massachusetts 02202, Telephone (617) 727-7001

### Michigan

Richard S. Pastula, Director, Michigan Department of Commerce, Lansing, Michigan 48909, Telephone (517) 373-7356

### Mississippi

Ms. Cathy Mallette, Clearinghouse Officer, Office of Federal Grant Management and Reporting, 301 West Pearl Street, Jackson, Mississippi 39203, Telephone (601) 960-2174

### Missouri

Ms. Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, P.O. Box 809, Room 430, Truman Building, Jefferson City, Missouri 65102, Telephone (314) 751-4834

### Nevada

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone (702) 687-4065, Attention: Ron Sparks, Clearinghouse Coordinator

### New Hampshire

Mr. Jefferey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review, Process/James E. Bieber, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone (603) 271-2155

### New Jersey

Gregory W. Adkins, Acting Director, Division of Community Resources, N.J. Department of Community Affairs, Trenton, New Jersey 08625-0803, Telephone (609) 292-6613

Please direct correspondence and questions to:

Andrew J. Jaskolka, State Review Process, Division of Community Resources, CN 814, Room 609, Trenton, New Jersey 08625-0803, Telephone (609) 292-9025

### New Mexico

George Elliott, Deputy Director, State Budget Division, State Budget Division, Room 190, Bataan Memorial Building, Santa Fe, New Mexico 87503, Telephone (505) 827-3640, Fax (505) 827-3006

### New York

New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone (518) 474-1605

### North Carolina

Mrs. Chrys Baggett, Director, Office of the Secretary of Admin., N.C. State Clearinghouse, 116 W. Jones Street, Raleigh North Carolina 27603-8003, Telephone (919) 733-7232

### North Dakota

N.D. Single Point of Contact, Office of Intergovernmental Assistance, Office of Management and Budget, 600 East Boulevard Avenue, Bismarck, North

Dakota 58505-0170, Telephone (701) 224-2094

#### Ohio

Larry Weaver, State Single Point of Contact, State/Federal Funds Coordinator, State Clearinghouse, Office of Budget and Management, 30 East Board Street, 34th Floor, Columbus, Ohio 43266-0411, Telephone (614) 466-0698

#### Rhode Island

Mr. Daniel W. Varin, Association Director, Statewide Planning Program, Department of Administration, Division of Planning, 265 Melrose Street, Providence, Rhode Island 02907, Telephone (401) 277-2656

Please direct correspondence and questions to:

Review Coordinator, Office of Strategic Planning

#### South Carolina

Omeagia Burgess, State Single Point of Contact, Grant Services, Office of the Governor, 1205 Pendleton Street, Room 477, Columbia, South Carolina 29201, Telephone (803) 734-0494

#### Tennessee

Mr. Charles Brown, State Single Point of Contact, State Planning Office, 500 Charlotte Avenue, 309 John Sevier Building, Nashville, Tennessee 37219, Telephone (615) 741-1676

#### Texas

Mr. Thomas Adams, Governor's Office of Budget and Planning, P.O. Box 12428, Austin, Texas 78711, Telephone (512) 463-1778

#### Utah

Utah State Clearinghouse, Office of Planning and Budget, Attn: Carolyn Wright, Room 116 State Capitol, Salt Lake City, Utah 84114, Telephone (801) 538-1535

#### Vermont

Mr. Bernard D. Johnson, Assistant Director, Office of Policy Research and Coordination, Pavilion Office Building, 109 State Street, Montpelier, Vermont 05602, Telephone (802) 828-3326

#### West Virginia

Mr. Fred Cutlip, Director, Community Development Division, West Virginia Development Office, Building #6, Room 553, Charleston, West Virginia 25305, Telephone (304) 348-4010

#### Wisconsin

Mr. William C. Carey, Federal/State Relations, Wisconsin Department of Administration, 101 South Webster Street, P.O. Box 7864, Madison, Wisconsin 53707, Telephone (608) 266-0267

#### Wyoming

Sheryl Jeffries, State Single Point of Contact, Herschler Building, 4th Floor, East Wing, Cheyenne, Wyoming 82002, Telephone (307) 777-7574

#### Guam

Mr. Michael J. Reidy, Director, Bureau of Budget and Management Research, Office of the Governor, P.O. Box 2950, Agana, Guam 96910, Telephone (671) 472-2285

#### Northern Mariana Islands

State Single Point of Contact, Planning and Budget Office, Office of the Governor, Saipan, CM, Northern Mariana Islands 96950

#### Puerto Rico

Norma Burgos/Jose H. Caro, Chairman/Director, Puerto Rico Planning Board, Minillas Government Center, P.O. Box 41119, San Juan, Puerto Rico 00940-9985, Telephone (809) 727-4444

#### Virgin Islands

Jose L. George, Director, Office of Management and Budget, #41 Norregade Emancipation Garden Station, Second Floor, Saint Thomas, Virgin Islands 00802

Please direct correspondence to:

Linda Clarke, Telephone (809) 774-0750

#### Appendix B

#### PART VI: APPENDIX B.—TABLE OF COMMUNITY SCHOOL FUNDING ALLOCATIONS BY STATE

Regions and states	State allocations
<b>Region I</b>	
Connecticut .....	\$250,000
Maine .....	250,000
Massachusetts .....	301,486
New Hampshire .....	250,000
Rhode Island .....	250,000
Vermont .....	250,000
<b>Region II</b>	
New Jersey .....	314,575
New York .....	1,329,456
Puerto Rico .....	1,044,840
Virgin Islands .....	250,000
<b>Region III</b>	
Delaware .....	250,000
District of Columbia .....	250,000
Maryland .....	250,000
Pennsylvania .....	580,467
Virginia .....	297,723
West Virginia .....	250,000

#### PART VI: APPENDIX B.—TABLE OF COMMUNITY SCHOOL FUNDING ALLOCATIONS BY STATE—Continued

Regions and states	State allocations
<b>Region IV</b>	
Alabama .....	352,025
Florida .....	887,552
Georgia .....	586,084
Kentucky .....	295,851
Mississippi .....	370,850
North Carolina .....	526,165
South Carolina .....	385,729
Tennessee .....	286,488
<b>Region V</b>	
Illinois .....	898,787
Indiana .....	265,891
Michigan .....	584,211
Minnesota .....	250,000
Ohio .....	762,096
Wisconsin .....	277,126
<b>Region VI</b>	
Arkansas .....	250,000
Louisiana .....	563,614
New Mexico .....	250,000
Oklahoma .....	250,000
Texas .....	1,492,361
<b>Region VII</b>	
Iowa .....	250,000
Kansas .....	250,000
Missouri .....	338,918
Nebraska .....	250,000
<b>Region VIII</b>	
Colorado .....	250,000
Montana .....	250,000
North Dakota .....	250,000
South Dakota .....	250,000
Utah .....	250,000
Wyoming .....	250,000
<b>Region IX</b>	
American Samoa .....	250,000
Arizona .....	273,381
California .....	2,357,443
Guam .....	250,000
Hawaii .....	250,000
Northern Marianas .....	250,000
Nevada .....	250,000
<b>Region X</b>	
Alaska .....	250,000
Idaho .....	250,000
Oregon .....	250,000
Washington .....	250,000
Native American Pgms .....	750,000

#### Appendix C—Forms and Instructions

BILLING CODE 4184-01-P

## Appendix C—Forms and Instructions

**APPLICATION FOR  
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<b>3. DATE RECEIVED BY STATE</b>		State Application Identifier	
<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>		Federal Identifier	
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0;"></div>		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> A. State      H. Independent School Dist. B. County      I. State Controlled Institution of Higher Learning C. Municipal      J. Private University D. Township      K. Indian Tribe E. Interstate      L. Individual F. Intermunicipal      M. Profit Organization G. Special District      N. Other (Specify) _____	
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award      B. Decrease Award      C. Increase Duration D. Decrease Duration      Other (specify): _____		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>			
<b>13. PROPOSED PROJECT:</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant b. Project	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____	
b Applicant	\$ .00	b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c State	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d Local	\$ .00		
e Other	\$ .00		
f Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
g TOTAL	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>			
a Typed Name of Authorized Representative		b Title	c Telephone number
d Signature of Authorized Representative		e Date Signed	

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Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

**Instructions for the SF 424**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

**Item and Entry**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- “New” means a new assistance award.
- “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
- “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State counties, cities).

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by

each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**BILLING CODE 4184-01-M**

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

  

SECTION B - BUDGET CATEGORIES						
Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

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Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102



SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
13. Federal		\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges:	22. Indirect Charges:				
23. Remarks					

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**Instructions for the SF-424A***General Instructions*

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a–k of Section B.

*Section A. Budget Summary*

Lines 1–4, Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1–4, Columns (c) Through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds

needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

*Section B. Budget Categories*

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1–4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6 a–i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)–(4), Line 6k, should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

*Section C. Non-Federal Resources*

Lines 8–11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)–(e). The amount in Column (e)

should be equal to the amount on Line 5, Column (f), Section A.

*Section D. Forecasted Cash Needs*

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

*Section E. Budget Estimates of Federal Funds Needed for Balance of the Project*

Lines 16–19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)–(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

*Section F. Other Budget Information*

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

**Assurances—Nonconstruction Programs**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will

establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable timeframe after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88–352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92–255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd–3 and 290ee–3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination

statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91–646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a–7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93–234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91–190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of

underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93–523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93–205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a–1 et seq.).

14. Will comply with P.L. 93–348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89–544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

---

Signature of authorized certifying official

---

Title

---

Applicant organization

---

Date submitted

BILLING CODE 4184–01–M

**U.S. Department of Health and Human Services**  
**Certification Regarding Drug-Free Workplace Requirements**  
**Grantees Other Than Individuals**

**By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**

This certification is required by regulations implementing the Drug-Free Workplace Act of 1988, 45 CFR Part 76, Subpart F. The regulations, published in the May 25, 1990 Federal Register, require certification by grantees that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Department of Health and Human Services (HHS) determines to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HHS, in addition to any other remedies available to the Federal Government, may taken action authorized under the Drug-Free Workplace Act. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment.

Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios.)

If the workplace identified to HHS changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see above).

Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 USC 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15).

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**The grantee certifies that it will or will continue to provide a drug-free workplace by:**

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace; (2) The grantee's policy of maintaining a drug-free workplace; (3) Any available drug counseling, rehabilitation, and employee assistance programs; and, (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and, (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or, (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (use attachments, if needed):

Place of Performance (Street address, City, County, State, ZIP Code) \_\_\_\_\_

Check ☐ if there are workplaces on file that are not identified here.

Sections 76.630(c) and (d)(2) and 76.635(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central receipt point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, S.W., Washington, D.C. 20201.

DGMO Form#2 Revised May 1990

### **Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions**

By signing and submitting this proposal, the applicant, defined as the primary participant in accordance with 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

(b) Have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Department of Health and Human Services (HHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

The prospective primary participant agrees that by submitting this proposal, it will include the clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transaction." Provided below without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

### **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions**

(To Be Supplied to Lower Tier Participants)

By signing and submitting this lower tier proposal, the prospective lower tier participant, as defined in 45 CFR Part 76, certifies to the best of its knowledge and belief that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal.

The prospective lower tier participant further agrees by submitting this proposal that it will include this clause entitled "certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions." without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

### **Certification Regarding Lobbying**

#### *Certification for Contracts, Grants, Loans, and Cooperative Agreements*

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant,

loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### *State for Loan Guarantee and Loan Insurance*

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date

BUILDING CODE 4184-01-M

Approved by OMB  
0348-0046

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____			<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known: _____		
<b>6. Federal Department/Agency:</b>   			<b>7. Federal Program Name/Description:</b>   CFDA Number, if applicable: _____		
<b>8. Federal Action Number, if known:</b>   			<b>9. Award Amount, if known:</b> \$ _____		
<b>10. a. Name and Address of Lobbying Entity</b> <i>(if individual, last name, first name, MI):</i>   			<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>   		
(attach Continuation Sheet(s) SF-LLL-A, if necessary)					
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned			<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____		
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____					
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>          					
(attach Continuation Sheet(s) SF-LLL-A, if necessary)					
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>16.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____		
<b>Federal Use Only:</b>			<b>Authorized for Local Reproduction Standard Form - LLL</b>		



[For the Family and Community Endeavor Schools Grant Program (FACES) under the Violent Crime Control and Law Enforcement Act]

Assurances

The applicant hereby makes the following program-specific assurances covering the Family and Community Endeavor Schools (FACES) Grant Program:

- The applicant will use grant funds received under this program to implement the program requirements;
- The applicant will comply with any evaluation requested as part of the FACES

program, any research effort authorized under Federal law, and any investigation by the Secretary;

- The applicant shall prepare and submit to the Secretary an annual report regarding any program conducted with these funds;
- Funds made available under the FACES program shall be used to supplement, not supplant, other federal funds that would otherwise be available for activities funded under this program;
- The applicant will maintain separate accounting records for the program.

The applicant further agrees to:

- Cooperate with any data collection, research or evaluation efforts independently funded be sponsored by HHS and/or ED.

Name of Applicant

Program

Signature

Date

[FR Doc. 95-5331 Filed 3-3-95; 8:45 am]

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